



# SO<sub>2</sub> Allowance Offer Form (2003)

## EPA Allowance Auctions

For more information, see instructions and refer to 40 CFR 73.70 - 73.71

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**STEP 1**  
Enter offerer account information.

ATS Account #
Authorized Account Representative (AAR) Name and ID#
AAR Phone Number
AAR Fax Number

**STEP 2**  
Indicate the auction to which this offer applies (mark one only).

~ Spot (first useable in 2003; may include 1995-2003 allowances)      ~ 7-Year Advance (first useable in 2010)

**STEP 3**  
List the allowances to be offered by serial number. You may specify single allowances or a block of allowances. In the total column, enter the total number of allowances being offered. Please see instructions.

Start Number	End Number	Total

(Note: Only allowances with serial numbers beginning with 2003 or earlier years, or 2010 may be offered and must correspond to the box checked in Step 2.)

**STEP 4 (optional)**  
Enter your minimum acceptable price per allowance.

\$ _____.
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**STEP 5**  
Mark the box if appropriate.

~ I am not willing to sell fewer allowances than the number listed in Step 3.

**STEP 6**  
Read the certification, enter your name as the authorized account representative or alternate authorized account representative, and sign and date.

I am authorized to make this submission on behalf of the owners and operators of the affected source or affected units or on behalf of the parties with an ownership interest with respect to the allowances held for which the submission is made. I certify under penalty of law that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify that the statements and information are to the best of my knowledge and belief true, accurate, and complete. I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information, including the possibility of fine or imprisonment.

Name	
Signature	Date

**Submission Information**

This form must be received by the EPA no later than close of business March 3, 2002. **Faxed copies of the Offer Form will NOT be accepted.** Mail original forms to the following address:

**Overnight mail:**  
 U.S. Environmental Protection Agency  
 Acid Rain Program (6204N)  
 Attention: Auctions and Sales  
 633 3<sup>rd</sup> Street, NW  
 Washington, DC 20001

**Regular mail:**  
 U.S. Environmental Protection Agency  
 Acid Rain Program (6204N)  
 Attention: Auctions and Sales  
 1200 Pennsylvania Avenue, NW  
 Washington, DC 20460



# Acid Rain Program

## Instructions for SO<sub>2</sub> Allowance Offer Form (2003)

### EPA Allowance Auctions (40 CFR 73.70 - 73.71)

*EPA will hold auctions for spot and 7-year advance SO<sub>2</sub> emission allowances on March 24, 2003. In the spot auction, EPA will sell allowances first useable in 2003. In the 7-year advance auction, EPA will sell allowances first useable for compliance in 2010. The Chicago Board of Trade (CBOT) will administer the auctions on EPA's behalf. Any holder of allowances may contribute allowances dated 2003 or earlier, or 2010 to the EPA auctions. **Allowances dated 2002 or earlier cannot be offered from unit accounts because 2002 compliance has not yet been determined.** CBOT will sell offered allowances after selling the allowances reserved by EPA. You may specify a minimum acceptable price for your allowances, i.e., a price below which your allowances cannot be sold. Offered allowances must reside in your Allowance Tracking System account at the time EPA processes this form.*

Type or complete the form in black ink. If you need more space, photocopy the pertinent page. When you have completed the form, indicate the page order and total number of pages (e.g., 1 of 4, 2 of 4, etc.) on each page in the spaces provided at the top right hand corner of the page.

Remember, under 40 CFR 72.21 and 73.33, you must notify the persons you represent in this transaction, either the owners or operators of the affected source and units or persons with an ownership interest with respect to the allowances held, of all Acid Rain Program submissions. EPA will accept Acid Rain Program submissions from either the authorized account representative (AAR) or the alternate AAR.

If you need assistance, call the Acid Rain Hotline at (202) 564-9620.

**STEP 2** A separate offer form is required for:

- each auction in which allowances are offered, and
- separate offers with different minimum prices.

(You may photocopy this form if you wish to make multiple offers.)

**STEP 3** List by serial number the allowances to be offered. You may specify a block of allowances having the same use year by entering the serial number of the first allowance in the block in "Start Number" and entering the serial number of the last allowance in the block in "End Number." Separate blocks having the same use year must be entered on different lines.

- Enter the Start Number and End Number in the appropriate columns.
- Enter the number of allowances to be offered in the "Total" column.
- Verify the accuracy of your entries by computing one of the following simple equations reflecting the equivalent relationships:

$$\text{Start Number} = \text{End Number} - \text{Total} + 1$$

or

$$\text{End Number} = \text{Start Number} + \text{Total} - 1$$

You will be prohibited from transferring the allowances you have offered for sale before the date of the auctions. If your allowances are not sold in the auctions, EPA will lift the transfer restriction on your offered allowances immediately following the auctions.

**STEP 4** You may specify a minimum sale price for your allowances. If bid prices are below this minimum, CBOT will not sell your allowances.

**STEP 5** In the event that fewer allowances will be sold than are offered, CBOT will sell a portion of your offered allowances to the bidder unless you indicate on the form that you are not willing to sell fewer allowances than the total(s) listed in Step 3.

### Submission Instructions

EPA must receive completed Allowance Offer forms no later than close of business March 3, 2003. **Faxed copies of the Offer Form will NOT be accepted.** Mail the completed original forms to the following address:

Regular Mail:

U.S. ENVIRONMENTAL PROTECTION AGENCY  
 ACID RAIN PROGRAM (6204N)  
 ATTENTION: AUCTIONS AND SALES  
 1200 PENNSYLVANIA AVENUE, NW  
 WASHINGTON, DC 20460

Overnight Mail:

U.S. ENVIRONMENTAL PROTECTION AGENCY  
 ACID RAIN PROGRAM (6204N)  
 ATTENTION: AUCTIONS AND SALES  
 633 3<sup>rd</sup> STREET, NW  
 WASHINGTON, DC 20001

### Paperwork Burden Estimate

The burden on the public for collecting and reporting of information under this request is estimated at 2 hours per response. Send comments regarding this collection of information, including suggestions for reducing the burden, to: Director, OPPE, Regulatory Information Division (2136), U.S. Environmental Protection Agency, 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. ***Do not send this form to this address; see the submission instructions above.***